IMS
AFIS IMS

User Manual

1828 Module

Subject	IMS User Manual - 1828 Module
Version /Status	1.0 /Final
Release Date	09/09/2011
Document Reference	AFIS-IMS-UserManual-1828Module_FinalEN
Document Owner	OLAF – D8

Document Identification

	Name, Function	Date	Signature
Written by	Oana Bazavan	05/09/2011	
Checked by	Andrea Bordoni	07/09/2011	
Approved by	Andrea Bordoni	08/09/2011	

Summary:	Keywords:
IMS is the application that allows the preparation and submission of irregularity reports to the European Anti-Fraud Office (OLAF). It contains the following modules: 1681, 1828, 1831, 1848, PAA, IPA, 498. This manual is meant to describe the details regarding module 1828 and the way in which reporting is to be done under this module.	Irregularity Management System (IMS); 1828 Module

Number of pages	Number of lines	Host system	Software
44	1749	PC-Windows XP	Word 2003 SP2

Document History

Ed.	Rev.	Date	Description	Action (*)	Sections
0.1	0	30/06/2011	Document creation.	C	All
0.2	1	05/09/2011	Update of the document, to include the addition of new fields.	I, R	All
0.3	2	07/09/2011	Update of the document, to include the feedback from the business owner.	D, I, R	All
1.0	3	09/09/2011	Final version.	C	All

(*) Action: C = Create D = Delete I = Insert R = Replace

Reference Documents

Ref.	Title	Reference	Version	Date
RD1	How to connect to AFIS Portal	*How to connect to AFIS Portal 1.4*	1.4	28/06/2007
RD2	AFIS Portal User Manual	*AFIS-APM-UM_EN*	1.1	21/04/2008
RD3	IMS User Manual – General Information	*AFIS-IMS-UserManual-GeneralInformation*	2.1	22/09/2011

Table of Contents

I. Introduction 10

1. Background 11
2. About IMS 12
   - 2.1 IMS on AFIS Portal 12
   - 2.2 IMS Users 12
   - 2.3 IMS Functionalities 12
3. About 1828 Module 13
   - 3.1 Reporting Obligations 13
4. Create New Communications 14
   - 4.1 Create a New "Zero Notification" 14
5. Search Communications 15

II. Create Article 3 (Initial) Communication 16

6. Create a New "Article 3" (Initial) Communication 17
7. Identification 18
8. Operation 20
9. Detection 22
10. Irregularity 25
11. Other States – Irregularity Period 27
12. Authorities – Date 29
13. Natural Person 30
14. Legal Entity 31
15. Amounts 32
16. Region 34
17. Sanctions 35
18. Comments 38
    - 18.1 Attachments 39
    - 18.2 Communications Belonging to a Closed Case 40

III. Create Article 5 (Update) Communication 41

19. Create a New "Article 5" (Update) Communication 42
20. Cancel a Case 43

List of Figures

Figure 1: Create Zero Notification 14
Figure 2: Search Communications 15
Figure 3: Create Article 3 (Initial) Communication 17
Figure 4: Identification 18
Figure 5: Operation 20
Figure 6: Detection 22
Figure 7: Irregularity 25
Figure 8: Other States – Irregularity Period 27
Figure 9: Authorities-Date 29
Figure 10: Natural Person 30
Figure 11: Legal Entity 31
Figure 12: Amounts 32
Figure 13: Region 34
Figure 14: Sanctions 35
Figure 15: Comments 38
Figure 16: Sample View on a Case Closed (by OLAF) 40
Figure 17: Create Article 5 (Update) Communication 42
Figure 18: Irregularity – Cancel a Case 43

List of Tables

Table 1: Tab Identification (Options) 19
Table 2: Tab Operation (Options) 21
Table 3: Detection (Options) 24
Table 4: Irregularity (Options) 26
Table 5: Other States - Irregularity Period (Options) 28
Table 6: Authorities-Date (Options) 29
Table 7: Natural Person (Options) 30
Table 8: Legal Entity (Options) 31
Table 9: Amounts - Display of EU and MS Shares 33
Table 10: Amounts (Options) 33
Table 11: Region (Options) 34
Table 12: Sanctions (Options) 37
Table 13: Comments (Options) 38

Terms Definition

Term	Definition
AFIS Directory Service	Common service responsible for the provision of user information, application information and reference data.
Application	The software component identified by the AFIS Framework as a deployable, security unit. Realises specific needs within OLAF overall business scope.
AFIS Framework	A set of services and applications to support the development, operation and use of AFIS business applications. It takes care of security, user application data, users' organisation structure, application configuration and reference data. It also offers a common look and feel to all applications (APF) and a portal home page presenting all applications a user can access (APM)
Customs Communications Network (CCN)	A set of physical gateways located either in National Administrations or at the Commission premises. These gateways are interconnected through their own communication services (TCP/IP network services), and communicate with the Application Platforms. CCN requires user authentication.
Irregularity	An irregularity represents any infringement of a provision of European law resulting from an act or omission by an economic operator which has, or would have, the effect of prejudicing the general budget of the Communities, by charging an unjustified item of expenditure to the European budget
Organisation	A unit in the hierarchy of an administrative structure.
User	Person who can access IMS and use it to perform different activities.

Abbreviations and Acronyms

Abbreviation/Acronym	Description
AFIS	Anti-Fraud Information Services
AFISNG	Anti-Fraud Information Services new generation
APF	AFIS Presentation Framework (AFIS Framework)
APM	AFIS Presentation Manager (AFIS Framework)
CCN	Customs Communication Network
CN Code	Combined Nomenclature Code
CCI	Code Commun d'Identification
EAFRD	European Agricultural Fund for Rural Development
EAGF	European Agricultural Guarantee Fund
EC	European Commission
ECR	External Communications Registry
EU	European Union
MS	Member State
NUTS	Nomenclature of territorial units for statistics
OLAF	European Anti-Fraud Office (Office Européen de Lutte Anti-Fraude)
IMS	Irregularities Management System
PAA	Pre-Accession Assistance
NUTS	Nomenclature of Territorial Units of Statistics

About this Manual

This manual is meant to serve as an orientation tool for all the users of IMS, having access to module 1828.

It gathers information users should be familiar with in order to be able to exploit the application and create, manage, follow-up irregularities reports under module 1828.

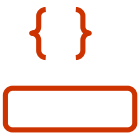
In its larger part, the document contains minute presentations of how to complete, manage, follow-up a communication form, as well as of the functionalities, commands, fields identified in such a form.

For facility and usability purposes, the user of this manual will be addressed throughout the corresponding sections as *you*.

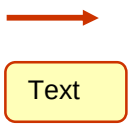
In order to make the best use of this manual, please note the following conventions:

Indicates warnings, preconditions or instructions that have to be strictly followed.
If you see this icon, make sure to read the information written next to it.

Sections or areas on pages are identified by a number in a circle.



Fields on screen, options and buttons are shown in frames or braces.



Specific details of the application interface are highlighted with an arrow and sometimes explained in a rectangle.

Using this Manual

The manual is divided into 3 sections, as follows:

I. Introduction – contains the following chapters

- Background
- About IMS
- About 1828 Module
- Create New Communications
- Search Communications

II. Create **Article 3** (Initial) Communication – contains the following chapters

- Create a New "Article 3" (Initial) Communication
- Identification
- Operation
- Detection
- Irregularity
- Other States – Irregularity Period
- Authorities – Date
- Natural Person
- Legal Entity
- Amounts
- Region
- Sanctions
- Comments

III. Create **Article 5** (Update) Communication – contains the following chapters

- Create a New "Article 5" (Update) Communication
- Cancel a Case

I. Introduction

1. Background

The European Union (EU) has established a set of funds to finance its Common Agricultural and Regional policies across the Member States (MS). The European Commission (EC) and the MS are in charge with the administration of these funds, namely:

- Structural Funds;
  - European Regional Development Fund (FD)
  - European Social Fund (FS)
  - European Agricultural Guarantee and Guidance Fund (EAGGF – old programming periods)
  - FIFG (Financial Instrument for Fishery Guidance)
- Cohesion Fund;
- European Agricultural Guarantee Fund (EAGF);
- European Agricultural Fund for Rural Development (EAFRD);
- European Fishery Fund (EFF)
- Pre-Accession funds:
  - CARDS – Community Assistance for Reconstruction, Development and Stabilisation (CA)
  - ISPA – Instrument for Structural Policies for Pre-Accession (IS)
  - Turkish Instrument for Pre-Accession Assistance (PA)
  - PHARE (PH)
  - SAPARD – Special Accession Programme for Agriculture and Rural Development (S)
  - Transition Facility (TF)

Respecting fund associated regulations, the MS are obliged to report any irregularities that arise.

As far as the Structural and Cohesion funds are concerned, the MS also have to report the recovery of sums wrongly paid in connection with the financing of the fund application field and with the way in which the information systems are organised in this field.

The regulations and their associated funds are:

Regulation	Amended by	Fund(s)
Commission Regulation (EC) **N° 1681/1994** of 11 July 1994	Commission Regulation (EC) **N° 2035/2005** of 12 December 2005	Structural Funds until programming period 2000-2006 included
Commission Regulation (EC) **N° 1831/1994** of 26 July 1994	Commission Regulation (EC) **N° 2168/2005** of 23 December 2005	Cohesion Fund until programming period 2000-2006 included
Commission Regulation (EC) **N° 1828/2006** of 8 December 2006	Commission Regulation (EC) **N° 846/2009** of 1 September 2009	ERDF, ESF and Cohesion Fund for the Programming Period 2007-2013
Commission Regulation (EC) **N° 1848/2006** of 14 December 2006	N/A	EAGF and EAFRD Funds
Commission Regulation (EC) **N° 498/2007** of 26 March 2007	Commission Regulation (EU) **N° 1249/2010** of 22 December 2010	EFF fund
Commission Regulation (EC) **N° 1681/1994** of 11 July 1994	Commission Regulation (EC) **N° 2035/2005** of 12 December 2005	Pre-Accession Funds
Commission Regulation (EC) **N° 718/2007** of 12 June 2007 and Commission Regulation **N° 1828/2006** of 8 December 2006	Commission Regulation (EC) **N° 80/2010** of 28 January 2010 and Commission Regulation (EC) **N° 846/2009** of 1 September 2009	Instrument for Pre-Accession Assistance (IPA)

The Irregularities Management System (IMS) realises the provisional software application that manages the reporting of irregularities under the conditions specified in these regulations.

2. About IMS

IMS is a Web-based application accessible through the AFIS Portal. You will learn all the needed details about accessing the AFIS Portal from the following document:

- **"How to connect to AFIS Portal"** (RD1) – chapter 7. *Logging on to the Portal*

In accordance with the regulations presented above, IMS contains the following modules:

- 498 module
- 1828 module
- 1831 module
- 1848 module
- 1681 module
- PAA module (Pre-Accession Assistance)
- IPA module (Instrument for Pre-Accession Assistance)

2.1 IMS on AFIS Portal

Depending on the role you have in working with IMS, you will receive a specific screen when you log in to the AFIS Portal. However, all AFIS *home* screens have a number of common features.

è The **"AFIS Portal User Manual"** (RD2) describes all the constant elements that compose the AFIS Portal Homepage.

2.2 IMS Users

IMS users are organised in groups of irregularity competences.

Accesses are granted by modules, and further by roles.

The "**IMS User Manual – General Information**" (RD3) contains specific chapters describing the way in which users are organised, their roles in using IMS and the actions available by each role, as well as the life cycle of communications handled by the different types of users:

- chapter 3 - *IMS Users*
  - subchapter 3.1 - *Member State Users and Organisations*
- chapter 4 - *Communication's Life Cycle*
- chapter 5 - *Actions Available by Roles*

2.3 IMS Functionalities

The features of IMS, together with the options that each type of user has in working with the application, are thoroughly described in the second part of the "**IMS User Manual – General Information**" (RD3):

- chapters 6 – 13

The information found in the mentioned user manual is a prerequisite for further understanding the current document.

3. About 1828 Module

Under Regulation No 1828/2006 the Member States are required to submit quarterly lists of irregularities in the agricultural sector (concerning the Structural Funds).

Having in view to facilitate this work and to ensure uniform registration of cases, the Commission has developed a module based on Regulation No 1828/2006 for notifying irregularities.

This module is called **module 1828**.

3.1 Reporting Obligations

The basic rule is that all irregularities have to be reported.

Details of the requirements for reporting, as well as the reporting obligations themselves, are set out in Articles 28 and 30.1 of Reg. 1828/2006 and amended in Reg. 846/2009.

- **Article 28** concerns the initial report of an irregularity.
- **Article 30** relates to the updates to the initial report (follow-up process).

4. Create New Communications

In the "**IMS User Manual – General Information**" (RD3), you will find all the necessary information about the content and structure of **Article 3** (corresponding to Article 28) and **Article 5** (corresponding to Article 30) communication forms (interface, communication body, and command bar), as follows:

- chapter 9 – *Article 3 and Article 5 Communication Forms*
  - subchapter 9.1 – *Communication Body*
  - subchapter 9.2 – *Command Bar*

4.1 Create a New "Zero Notification"

To create a new 1828 **Zero Notification**, do the following:

- On the IMS *Homepage* – click the "1828" link (**1**)
- On the next page (listing all the communications) – click the **Zero notification** button (**2**)

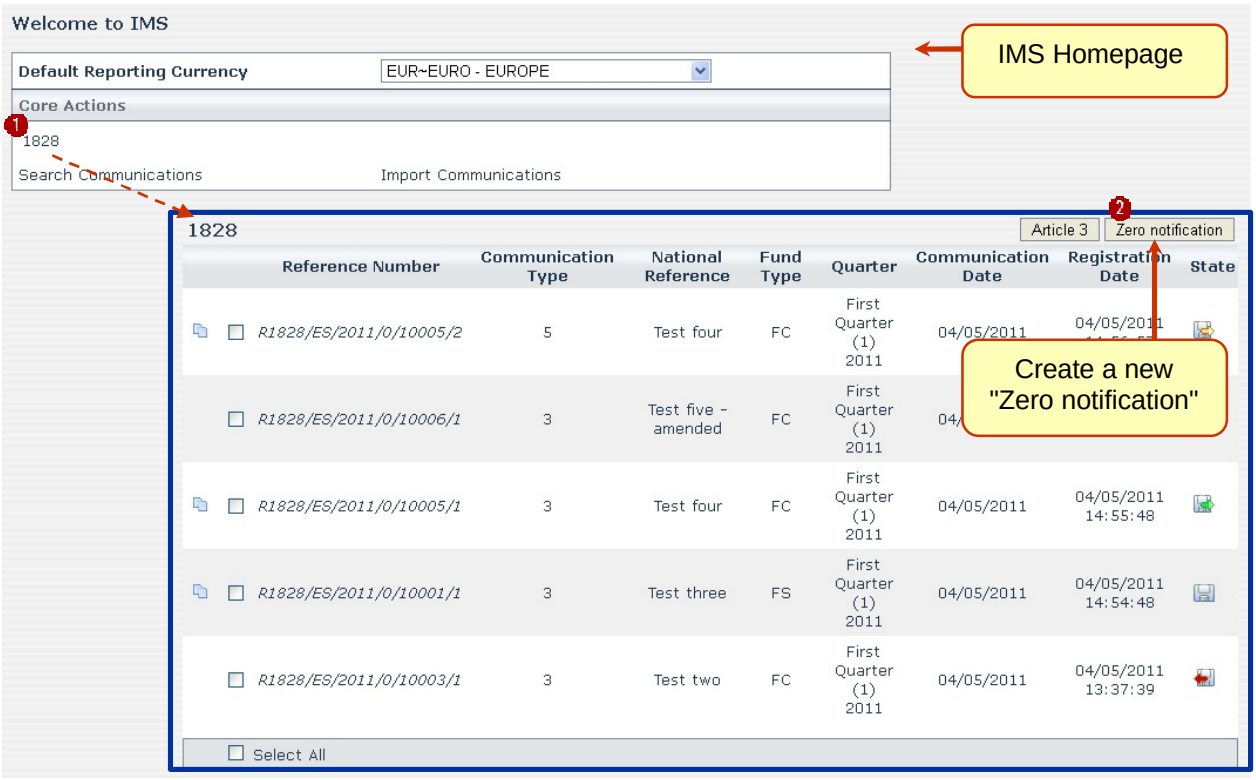


Figure 1: Create Zero Notification

5. Search Communications

- Click the "Search Communications" link on the IMS *Homepage.*
- The search screen appears, displaying a series of search criteria.

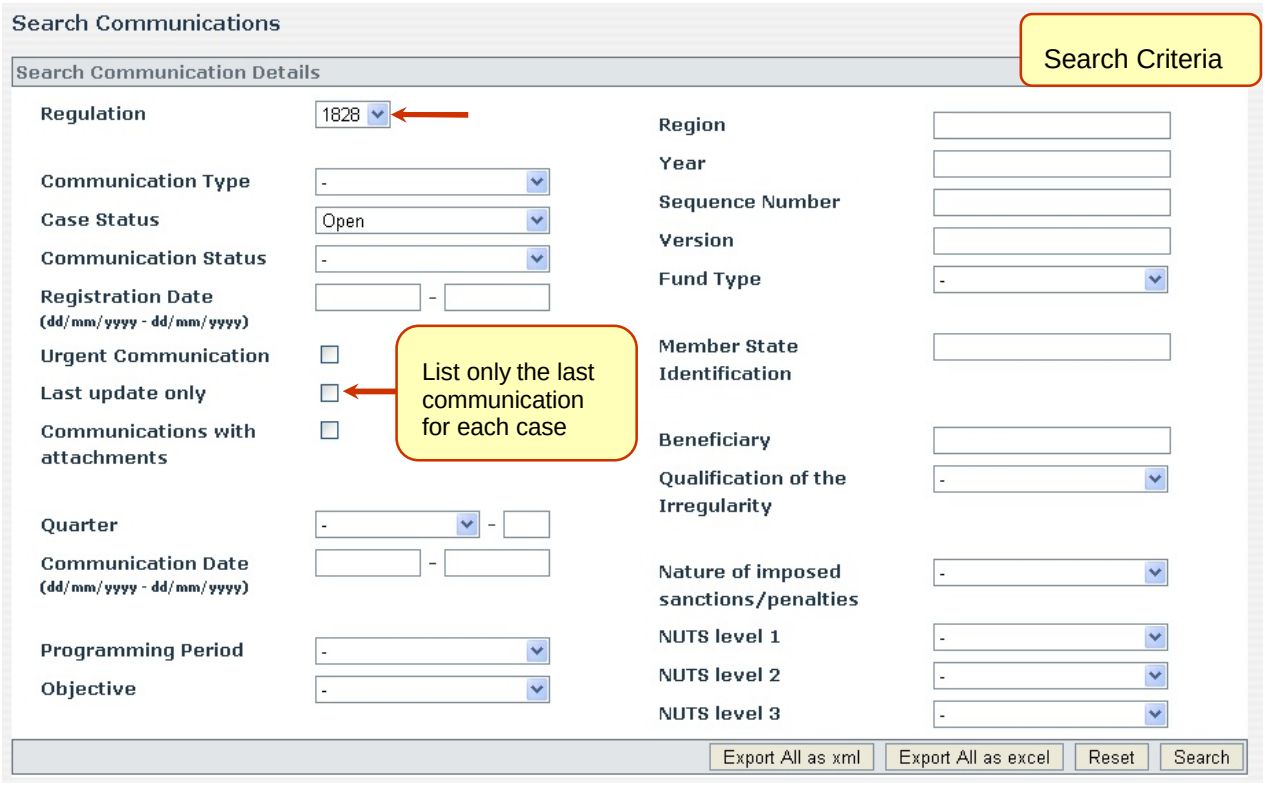


Figure 2: Search Communications

è You have the possibility to export in an excel or .xml file all the communications you search for. Use the corresponding buttons to perform the needed action.

II. Create Article 3 (Initial) Communication

6. Create a New "Article 3" (Initial) Communication

To create a new 1828 **Article 3** (for the initial) communication do the following:

- On the IMS *Homepage* – click the "1828" link (**1**)
- On the next page (listing all the communications) – click the **Article 3** button (**2**)

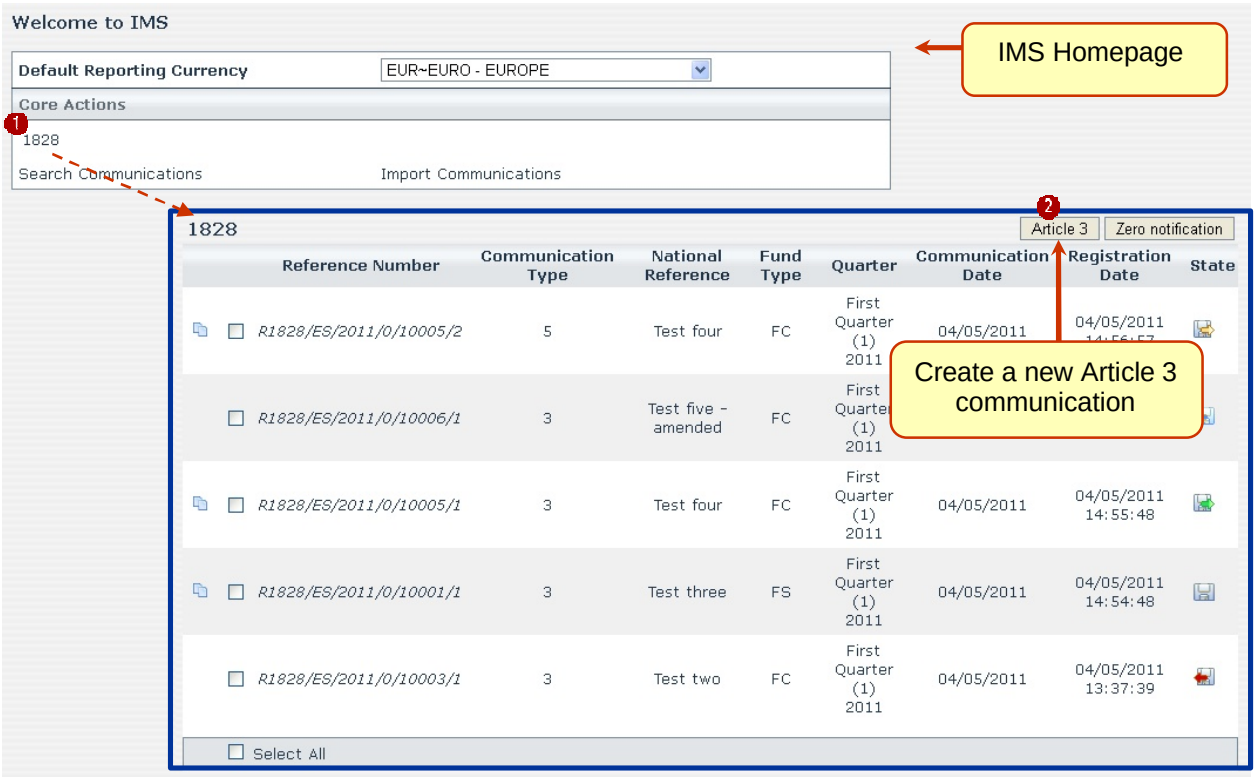


Figure 3: Create Article 3 (Initial) Communication

7. Identification

On the first page of the Article 3 communication, you must provide the following details regarding the communication, as seen in the image below and explained in the table afterwards:

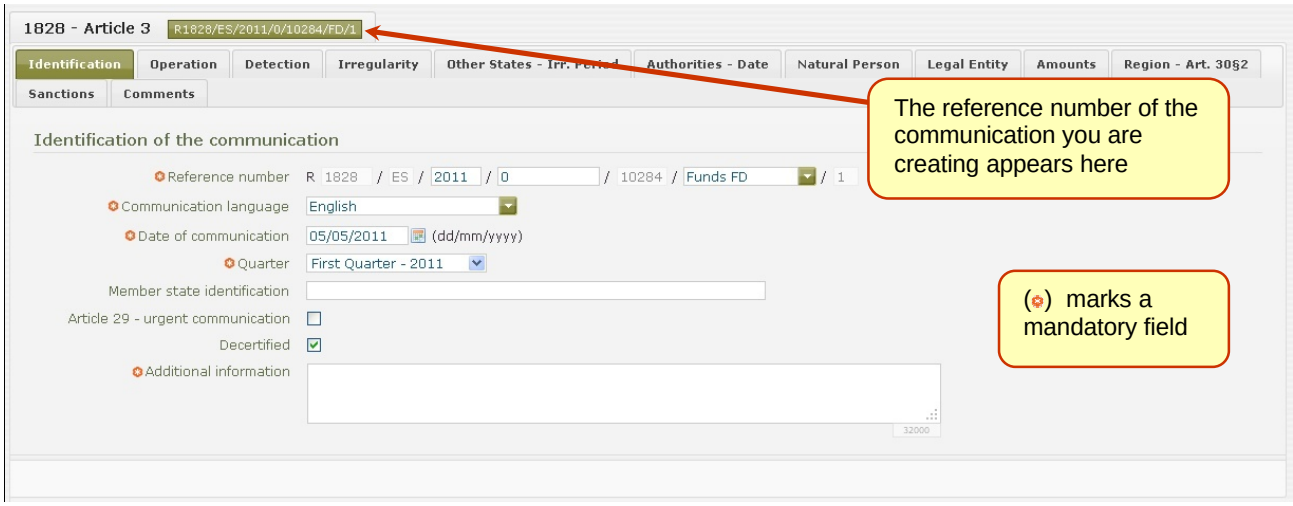


Figure 4: Identification

Field	Description
Identification of the communication	
Reference number	The reference number of each communication you are creating has the following format – **R1828/CC/YYYY/11111/000001/AA/1**, where: è **R1828** – is the reference of the Regulation è **CC** – represents the abbreviation/code of the Member State • Appears automatically, according to the country to which you belong è **YYYY** – represents the year of communication • The current year appears by default è **11111** – represents the code of the reporting authority (maximum 5 characters) • This field allows you to indicate which is the region that reports the communication • it is (especially valid for Member States with a decentralised, regional organisation) è **000001** – represents the sequence number, identifying the irregularity case • It is automatically generated to correspond only to one case • The unique sequence number is generated taking into account the reference of the Regulation, the Member State, the reporting year and the fund type. • The first sequence number generated each year is 10001. è **AA** – represents the type of fund related to the irregularity you intend to communicate Select the fund type from the drop-down list, where the options are the following: • FC - Cohesion Fund (CF) – available only for the following Member States: BG, CZ, EE, ES, GR, HU, LT, LV, MT, PL, RO, SI, SK, CY, PT

Field	Description
	• FD - European Regional Development Fund (ERDF) • FS - European Social Fund (ESF) è **1** – represents the version number of the communication. • The initial communication (**Article 3**) always has version number 1. Update communications (**Article 5**) start with version number 2. • The system automatically generates/updates the version for each new communication form
Communication language	The language in which you want to create the communication. • Make your selection by using the corresponding drop-down list
Date of communication	Indicate the date when the communication is ready to be sent. • Do this by selecting the month, the year and the date from the calendar, or by entering eight characters, in the format: dd/mm/yyyy, where the first two represent the day, the next two the month and the last four the year. • Note that you should amend this date every time you renew information in the (draft) communication
Quarter	Select from the drop-down list the corresponding quarter of the year when the irregularity arose. • The previous quarter of the year appears by default (current quarter minus 1). • If needed, the current quarter can be selected from the drop-down list.
Member state identification	Put down the original national identification number of the irregularity report. • The authorities establishing the irregularities are very often different from the ones that notify the communication to OLAF. • Therefore, it can happen that these bodies send their messages identified with a number that will be different from the one used to report the case/communication to OLAF. • This is especially true to all the Member States having a much decentralised organisation, but could also happen in small and centralised countries.
Article 29 - urgent communication	Check this checkbox to indicate whether the communication you are submitting fulfils one of the conditions set out in article 29 of Regulation 1828/2006: • It is feared that the irregularity may very quickly have repercussions outside the territory of the reporting MS. • The irregularity shows that a new malpractice has been employed. Checking this checkbox enables the MS to satisfy, at the same time, the urgent communication (article 29 requirement) and the standard reporting obligation (article 28).
Decertified	Check this checkbox to indicate whether the irregular project is excluded from the demand of payment to the Commission.
Additional information	This field becomes available and mandatory only if you agree that the case is decertified. è Notice the character counting while you put down the text (right down corner of the text area).

Table 1: Tab Identification (Options)

8. Operation

This tab-page of the communication will contain the information necessary to identify the operation that was affected by the irregularity.

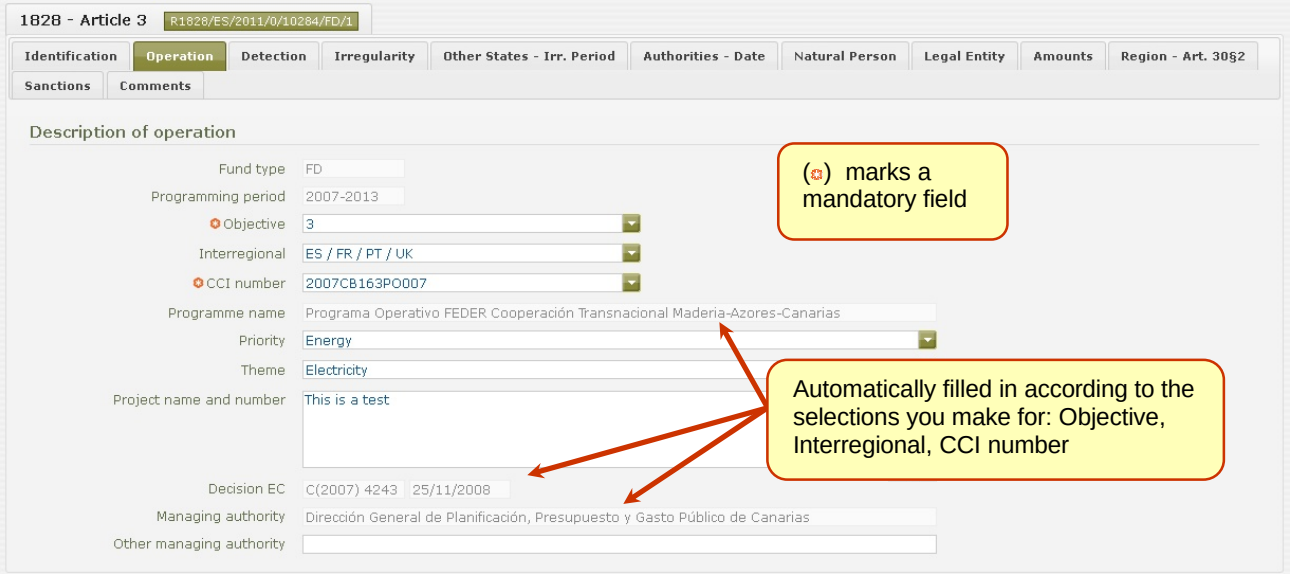


Figure 5: Operation

The options you have on this tab-page are the following:

Field	Description
Description of operation	
Fund type	The type of fund you selected on the previous tab-page appears here. You can change the fund type only by going back to the "Identification" page and selecting a new fund from the available list (see Figure 4: Identification)
Programming period	The only programming period available is 2007-2013 and cannot be changed.
Objective	Select from the drop-down list the corresponding objective to which the project affected by the irregularity was related. According to the fund type you select, different objectives become available.
Interregional	Select from the drop-down list the corresponding **Interregional** programme reference to which the project affected by the irregularity was related. è According to the fund type and objective you select, different **Interregional** references become available.
CCI number	Select from the drop-down list the corresponding **CCI number** (Common Identification Code – from French: Code Commun d'Identification). Specific CCI numbers become available according to the fund type, objective and Interregional reference you select.

Field	Description
Programme name	A specific **Programme name** becomes available according to the fund type, objective, Interregional reference and CCI number you select. è You cannot change the **Programme name**, once it is generated by the system.
Priority	Select from the drop-down list the **Priority** corresponding to the irregularity you are reporting.
Theme	Select from the drop-down list the **Theme** corresponding to the irregularity you are reporting. Specific **Theme** values become available according to the **Priority** you select.
Project name and number	Put down the name and number of the project, in a maximum of 2000 characters, including spaces. è Notice the character counting while you put down the text (right down corner of the text area).
Decision EC	
Decision number	Number of the Decision of the European Commission, according to which the programme was accepted and approved. A specific Decision number becomes available according to the fund type, objective, Interregional reference and CCI number you select. è You cannot change the Decision number, once it is generated by the system.
Decision date	The day when the Decision of the European Commission was issued. The specific date becomes available according to the Decision number presented in the previous field. è You cannot change the Decision date, once it is generated by the system.
Managing authority	A specific authority becomes available according to the fund type, objective, Interregional reference and CCI number you select. è You cannot change the **Managing authority**, once it is generated by the system.
Other managing authority	If necessary, you can enter another managing authority (intermediate body), apart from the one generated by the system.

Table 2: Tab Operation (Options)

9. Detection

On this page, you will indicate the information concerning infringed provisions, the date and source of first information, as well as the method of detection of the irregularity and the legal basis for the control performed.

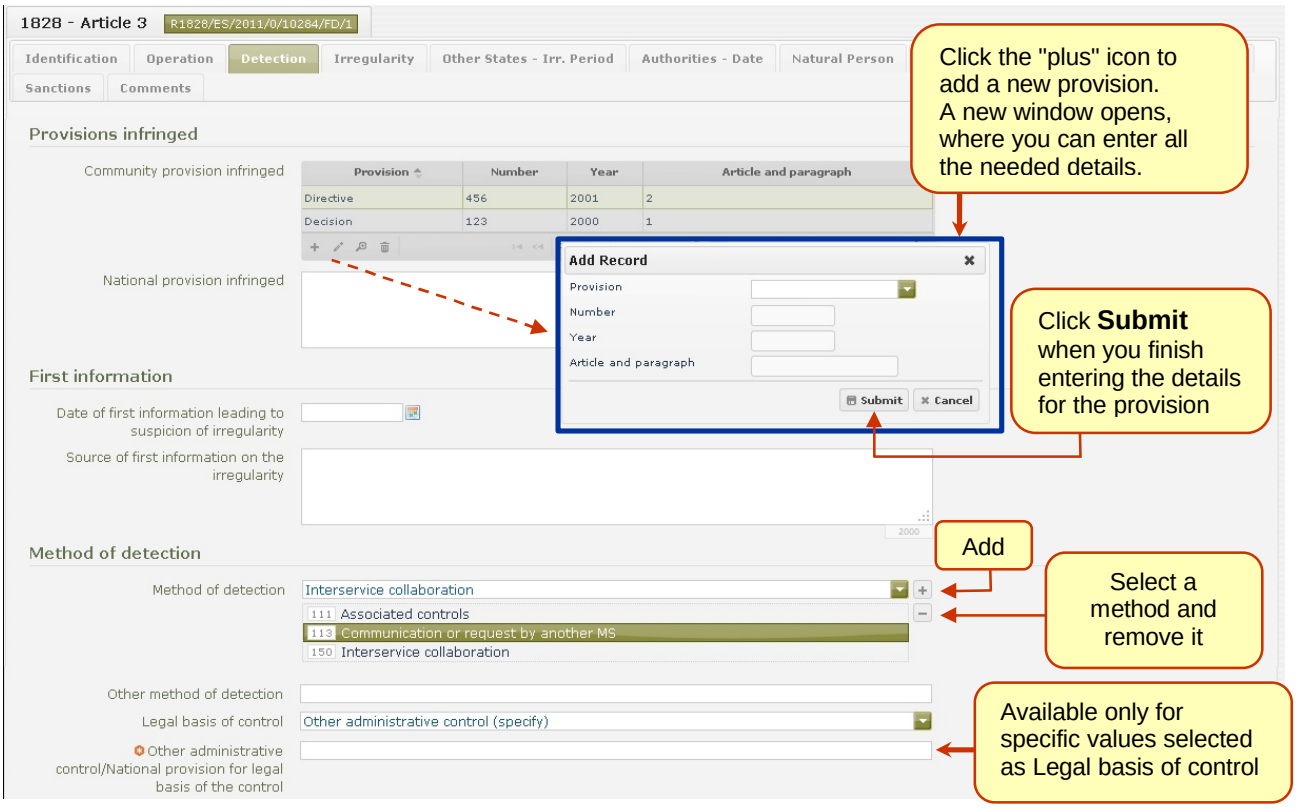


Figure 6: Detection

Field/Section	Description
Provisions infringed	
European provision infringed	
	Options you have for the list of European provisions: + – helps you **add** a new provision – use this button when a provision is already added, but you need to **edit** its details – use this button when you only want to **view** the details of the provision(s) – helps you **remove** a provision from the list
Provision	Select the corresponding type(s) of legislation from the drop-down list. There are three categories of legislative acts: • Decision (DEC) • Directive (DIR) • Regulation (REG)
Number	Put down the number of the legislative act that was infringed. è Note that, according to the European legislation, Regulations show the number

Field/Section	Description
	first and the year after, while for the Directives and Decisions it is the opposite. *e.g.:* • Decision - **2004/316/EC, art.1** • Directive - **2004/2/EC, article 1 and 2** • Regulation - **1260/99, article 32, 33, 34**
Year	Put down the year of the legislative act that was infringed.
Article and paragraph	Put down the article and, if relevant, the paragraph of the legislative act that was infringed (suggested format: 12(1) for article 12, paragraph 1).
National provision infringed	Write the number, year and articles of the national legislative acts infringed. *e.g.:* • An Italian act: D. Lgs. n. 74/2000, articoli 2 e 8 (Decreto Legislativo, n. 74) • In English: Legislative Decree, no. 74/2000, articles 2 and 8
First information	
Date of first information leading to suspicion of irregularity	Indicate the corresponding date, by selecting the month, the year and the date from the calendar, or by entering eight characters, in the format: dd/mm/yyyy, where the first two represent the day, the next two the month and the last four the year.
Source of first information on the irregularity	Put down a general description of the source, in a maximum of 2000 characters. • *e.g.:* The information was first published in the media è Notice the character counting while you put down the text (right down corner of the text area).
Method of detection	Select the corresponding method(s) in which the irregularity was detected. Do this in the following way: 1. Select the method of detection from the drop-down list. 2. Click the "add" button (+). • A new list is created, with all the methods of detection that you select. è If you want to remove a method of detection from the list, do the following: 1. Click the method of detection you want to remove, in the list which contains the values that you selected. • The method you click is highlighted (green colour) 2. Click the "remove" button (−)
Other method of detection	Enter a description of any other method of detection that you cannot find n the list above. • The text must have a maximum of 255 characters, with spaces.
Legal basis of control	Select from the list the legal basis for the control performed to detect the irregularity. The values available for you are: • (1) Article 13§2(a) - Administrative verifications • (2) Article 13§2(b) - On-the-spot verifications • (3) Article 16 - Audit of operations • (4) Other administrative control (specify) • (5) Antifraud control (specify the national provision for legal basis of the control) • (6) Criminal investigation (specify the national provision for legal basis of the control)
Other administrative control/National provision for legal	Only in case you select "Other administrative control", "Antifraud control" and "Criminal investigation", you have to specify which is the administrative control or the

Field/Section	Description
basis of the control	national provision you refer to as the legal basis of the control performed. • The text must have a maximum of 255 characters, with spaces.

Table 3: Detection (Options)

10. Irregularity

On this page, you will provide general and descriptive information concerning the typology of the irregularity committed, as well as a report of the methods used to commit the irregularity.

The information you should provide is as seen in the image below and described in the table afterwards.

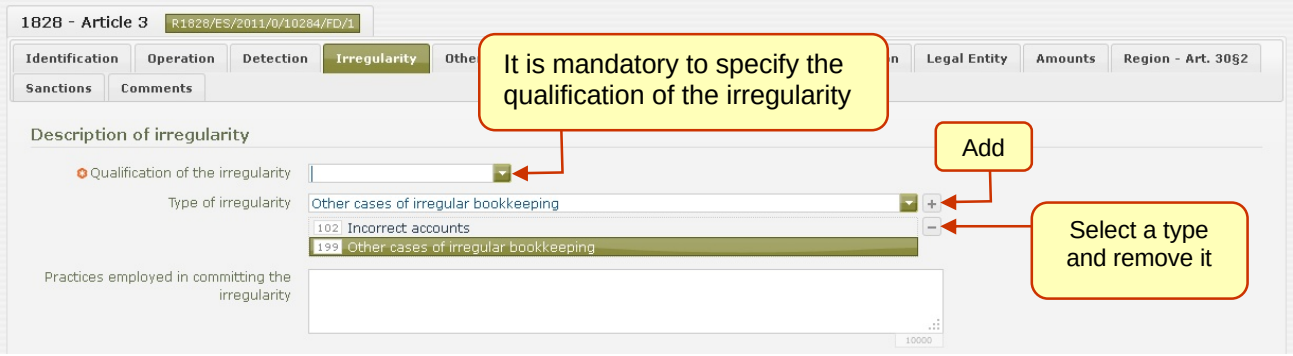


Figure 7: Irregularity

Field/Section	Description
Description of irregularity	
Qualification of the irregularity	It is mandatory to indicate the condition of the irregularity, with the help of the drop-down list. An irregularity can be qualified as being: è **IRQ2** = irregularity in sense of Reg. 2988/95 • use this code if the reported irregularity does not present elements suggesting that it may be of a fraudulent nature • *e.g.:* expenditure not eligible è **IRQ3** = suspicion of fraud • use this code if the reported irregularity presents elements suggesting that it may be of a fraudulent nature • *e.g.:* falsification of documents è **IRQ5** = established fraud • Use this code if an entitled authority has provided a definitive sentence concerning the fraudulent nature of the behaviour linked to the reported irregularity. • Generally, this code should be used at the end of a penal procedure and, therefore, it should be selected when an "updating communication" (**Article 5**) is created. • However, if the procedure is particularly fast, you can also use this code for the "initial communication" (**Article 3**). When you create an **Article 5** communication, the following additional qualification is available for you: è **IRQ0 = no irregularity** • Sending an **Article 5** communication with **IRQ0 selected** means that you want to **cancel the case** (see chapter 20. Cancel a Case).

Field/Section	Description
Type of irregularity	Select the corresponding type(s) of irregularity in the following way: 1. Select the type of irregularity from the drop-down list. 2. Click the "add" button (+). • A new list is created, with all the types of irregularity that you select. è If you want to remove a type of irregularity from the list, do the following: 1. Click the type of irregularity you want to remove, in the list which contains the values that you selected. • The type you click is highlighted (green colour) 2. Click the "remove" button (−)
Practices employed in committing the irregularity	Write a description of the methods used to commit the irregularity. • Further and more in depth explanations improve the quality of the process of analysing the irregularity. • The description must be clear and to the point. • The text must have a maximum of 10000 characters, with spaces. è Notice the character counting while you put down the text (right down corner).

Table 4: Irregularity (Options)

11. Other States – Irregularity Period

On this page of the communication, you should provide the following details regarding the communication, as seen in the image below and explained in the table afterwards:

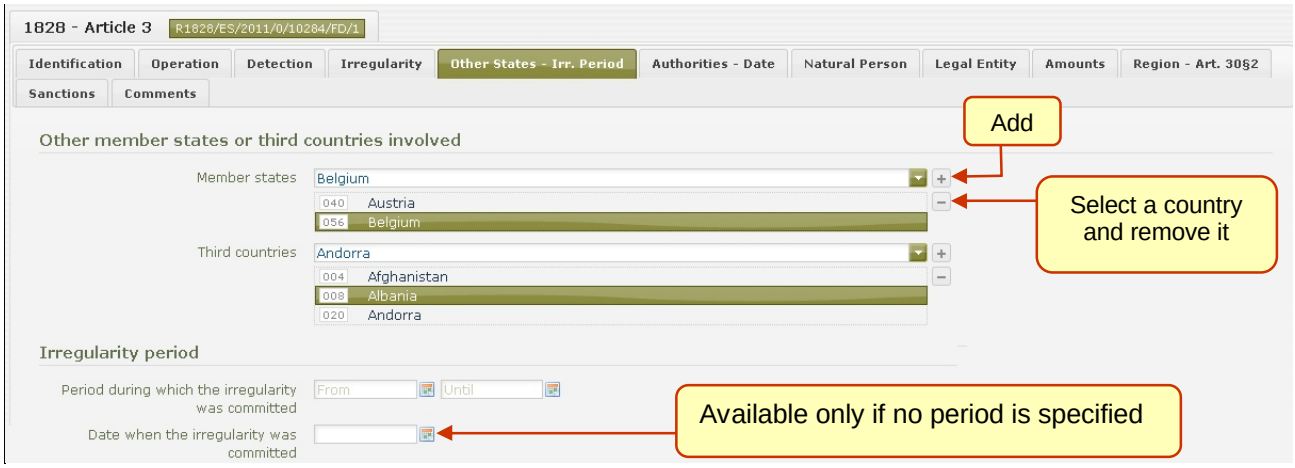


Figure 8: Other States – Irregularity Period

Field	Description
Other member states or third countries involved	
Member states Third countries	Select the corresponding Member state(s) or the third country(ies) concerned by the irregularity. Do this in the following way: 1. Select the Member state(s) or the third country(ies) from the drop-down list. 2. Click the "add" button (+). • A new list is created, with all the Member state(s) or the third country (ies) that you select. è If you want to remove a Member state or the third country from the list, do the following: 1. Click the Member state or the third country you want to remove, in the list which contains the values that you selected. • The Member state or the third country you click is highlighted (green colour) 2. Click the "remove" button (−)
Irregularity period	
Period during which the irregularity was committed	Enter relevant information concerning the period during which the irregularity took place.
From	Enter the day when the irregularity started. • Do this by selecting the month, the year and the date from the calendar, or by entering eight characters, in the format: dd/mm/yyyy, where the first two represent the day, the next two the month and the last four the year. è If you do not know exactly the start date of the irregularity, you can indicate the first day of the month or of the year in which it started.

Field		Description
	Until	Enter the day when the irregularity ended. è If you do not know exactly the end date of the irregularity, you can indicate the last day of the month or of the year in which it ended.
	Date when the irregularity was committed	If the irregularity took place in a specific day, put it down in this field.

Table 5: Other States - Irregularity Period (Options)

12. Authorities – Date

This tab-page will contain information about the authorities or bodies which have established the irregularity and those which are in charge of the follow up. You will also provide the timing for the establishment of the irregularity.

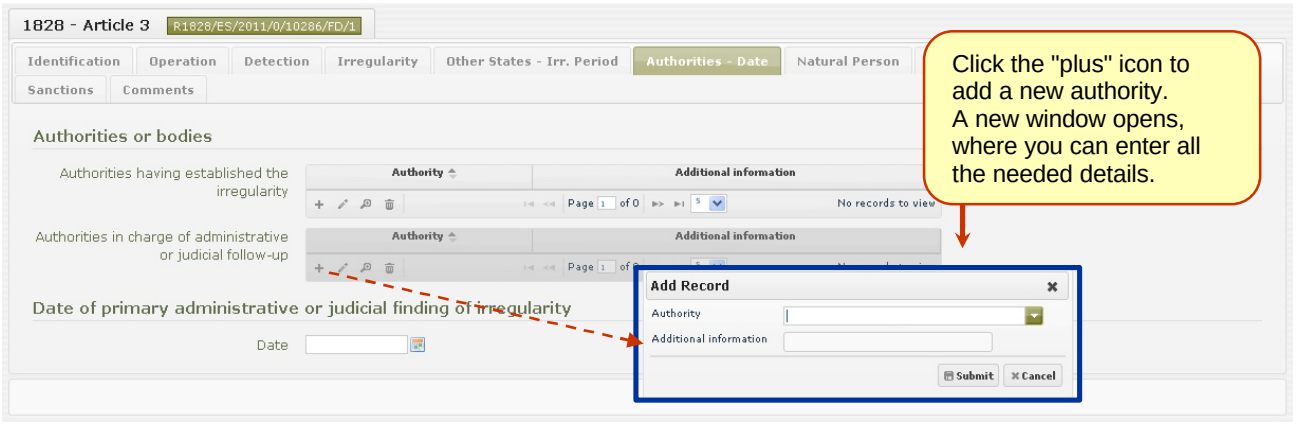


Figure 9: Authorities-Date

Field/Section	Description
Authorities or bodies	
	Options you have for the lists of authorities: – helps you **add** a new authority – use this button when an authority is already added, but you need to **edit** its details – use this button when you only want to **view** the details of the authority(ies) – helps you **remove** an authority from the list Values in the “Authority” field can only be chosen from the drop-down list. If the authority you need to select is not included in the drop-down list, indicate its name in the “Additional information” field. è Click **Submit** when you finish selecting the authority or entering any needed additional information.
Authorities having established the irregularity	Indicate on this page the authority (ies) that established the irregularity, as well as those responsible with the administrative or judicial follow-up.
Authorities in charge of administrative or judicial follow-up	
Date of primary administrative or judicial finding of irregularity	Specify the date by selecting the month, the year and the day from the calendar, or by entering eight characters, in the format: dd/mm/yyyy, where the first two represent the day, the next two the month and the last four the year.

Table 6: Authorities-Date (Options)

13. Natural Person

In this section of the communication, you will include evidence about the identity of the natural persons involved in committing the irregularity.

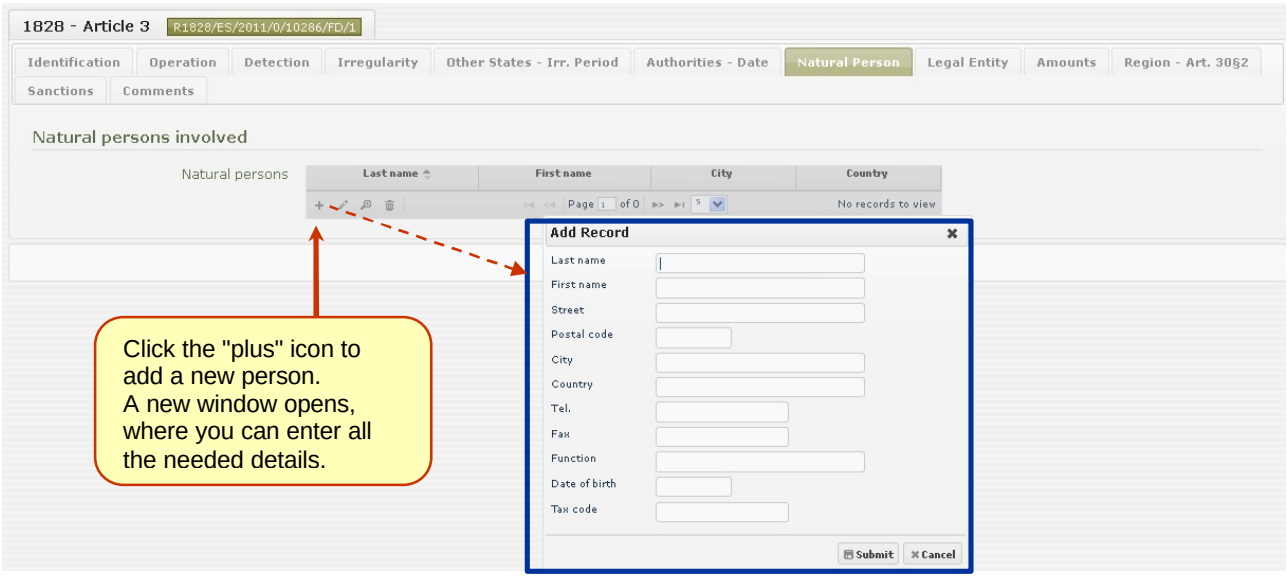


Figure 10: Natural Person

Field/Section	Description
Natural persons involved	
	Options you have for the lists of natural persons: + – helps you **add** a new person – use this button when a person is already added, but you need to **edit** the details – use this button when you only want to **view** the details regarding the person(s) – helps you **remove** a person from the list è Click **Submit** when you finish entering the person and the corresponding details.
Last name	Identity information of the natural person involved (family and first name)
First name	
Street	The complete physical address of the mentioned person
Postal code	
City	
Country	
Tel.	The contact details of the mentioned person (telephone and fax numbers)
Fax	
Function	Enter the function in a maximum of 100 characters, with spaces.
Date of birth	Enter eight characters, in the format: dd/mm/yyyy, where the first two represent the day, the next two the month and the last four the year.
Tax code	Enter the tax code in a maximum of 50 characters, with spaces.

Table 7: Natural Person (Options)

14. Legal Entity

In this section of the communication, you will include evidence about the identity of the legal entities (companies) involved in committing the irregularity.

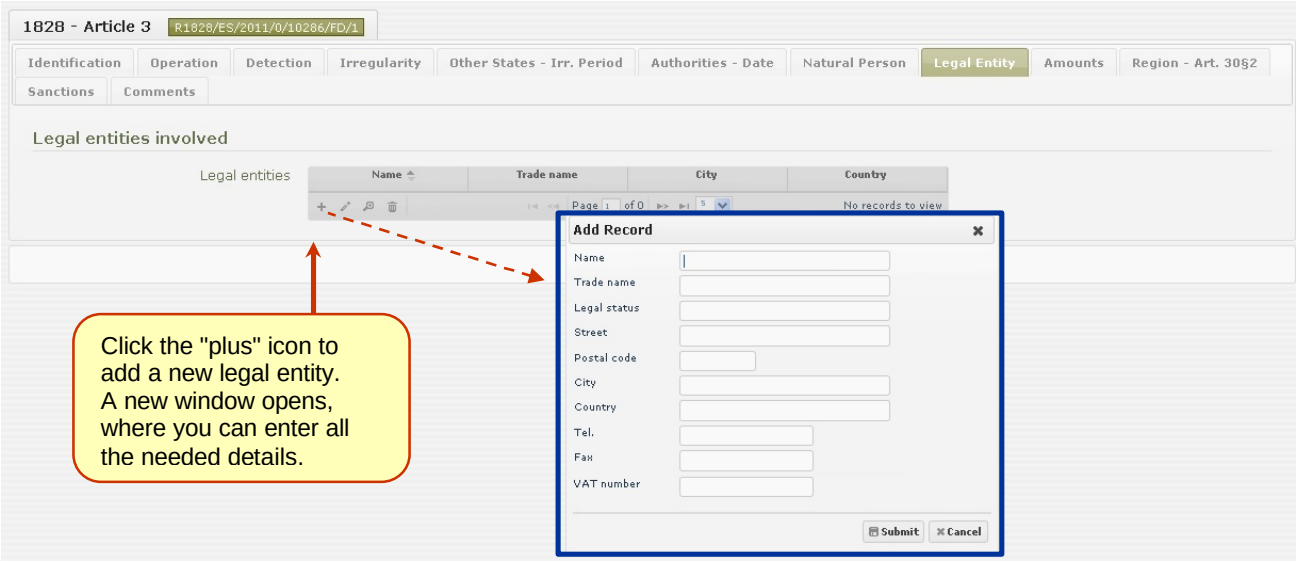


Figure 11: Legal Entity

Field/Section		Description
Legal entities involved		
	Options you have for the lists of legal entities: + – helps you **add** a new company – use this button when a company is already added, but you need to **edit** the details – use this button when you only want to **view** the details regarding the company(ies) – helps you **remove** a company from the list è Click **Submit** when you finish entering the company and the corresponding details.	
	Name	Indicate the official and complete legal name of the company involved.
	Trade name	The name under which a business trades for commercial purposes • Also known as a trading name or a business name
	Legal status	Defines the legal status under which the entity operates. It has to be indicated in capital letters and in the abbreviated form. *e.g.* • Italy: SRL for *società a responsabilità limitata* (limited liability company) • United Kingdom: LLC for limited liability company
	Street	The complete physical address of the mentioned legal entity
	Postal code	
	City	
	Country	
	Tel.	The contact details of the mentioned legal entity (telephone and fax numbers)
	Fax	
	VAT number	Enter the VAT number in a maximum of 50 characters, with spaces.

Table 8: Legal Entity (Options)

15. Amounts

This section will contain all the relevant financial information, with a clear distinction between Member State funding and European Commission funding.

è The currency you have to use to indicate the amounts is always **EUR** (Euro).

è The amounts/numbers should have thousand and decimal separators. Dot (.) should be the thousand separator and comma (,) the decimal one. The system automatically shows the separators while you are entering the amounts in the corresponding fields.

è You can enter a maximum of 16 characters (thousand and decimal separators included) in the amounts fields and negative values are never allowed.

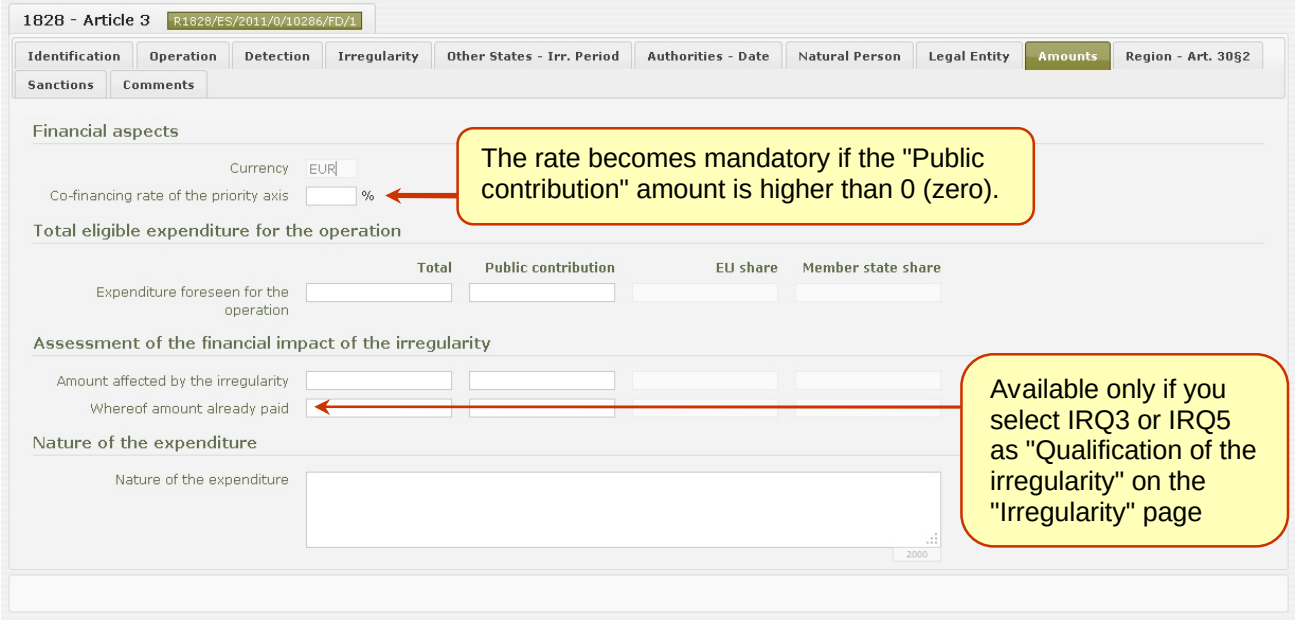


Figure 12: Amounts

è The amounts fields on this tab-page are split into several columns/sections, as following:

Column	Description
Co-financing rate of the priority axis	This field becomes mandatory if the PUBLIC CONTRIBUTION amount is higher than 0.
Total	The amount in this field has to be equal to or bigger than the amount in the field PUBLIC CONTRIBUTION.
Public contribution	Enter in this field the amounts regarding the public contribution.
EU share	The EU SHARE is automatically calculated by the system, as percentage of the PUBLIC CONTRIBUTION. This percentage is defined in the field "Co-financing rate of the priority Axis". The remaining amount becomes the MEMBER STATE SHARE.

Column	Description
Member state share	The MEMBER STATE SHARE is automatically calculated by the system, as percentage of the PUBLIC CONTRIBUTION. This percentage is defined in the field "Co-financing rate of the priority Axis". The remaining amount is displayed as EU SHARE.

Table 9: Amounts - Display of EU and MS Shares

An example of how the calculations are done by the system for the

EU SHARE and the MEMBER STATE SHARE:

If "**Co-financing rate of the priority axis**" = **25%**

and **PUBLIC CONTRIBUTION** = **100**

=> Then: **EU SHARE** = 25% of 100 = **25**

and **MEMBER STATE SHARE** = 100 – 25 = **75**

The information you should provide on this tab-page is as seen in Figure 12: Amounts and described in the following table.

Field	Description
Co-financing rate of the priority axis	Only numbers from 0 to 100 are allowed in this field.
Total eligible expenditure for the operation	
Expenditure foreseen for the operation	Indicate here the overall amount (funding) that could be charged to the EU budget and the national budget. è The amounts in the fields "Expenditure foreseen for the operation" should be equal to or bigger than the ones in the fields "Amount affected by the irregularity".
Assessment of the financial impact of the irregularity	
Amount affected by the irregularity	Indicate here the amount that was affected by the irregularity you are reporting. è The amounts in the fields "Amount affected by the irregularity" should be equal to or bigger than the ones in the fields "Whereof amount already paid".
Whereof amount already paid	This field is available only if you select IRQ3 or IRQ5 as "Qualification of the irregularity" on the "Irregularity" page
Nature of the expenditure	Describe the nature of the expenditure detected as irregular • The description must be clear, comprehensive and to the point. • The text must have a maximum of 2000 characters, with spaces.

Table 10: Amounts (Options)

16. Region

In this section of the communication, you will select the region or area where the operation has been located or carried out, based on the NUTS classification *(*Nomenclature of territorial units for statistics – *from French: Nomenclature des Unités territoriales statistiques)*.

Figure 13: Region

Field/Section	Description
Region or area where the operation has been located or carried out	
NUTS level 1	Select from the list the region or area where the operation has been located or carried out.
NUTS level 2	The values in this list are available only according to the selection made for "NUTS level 1" (cascading)
NUTS level 3	The values in this list are available only according to the selection made as "NUTS level 1" and "NUTS level 2" (cascading)

Table 11: Region (Options)

17. Sanctions

Provide here information about the sanctions issued following specific procedures related to the irregularity.

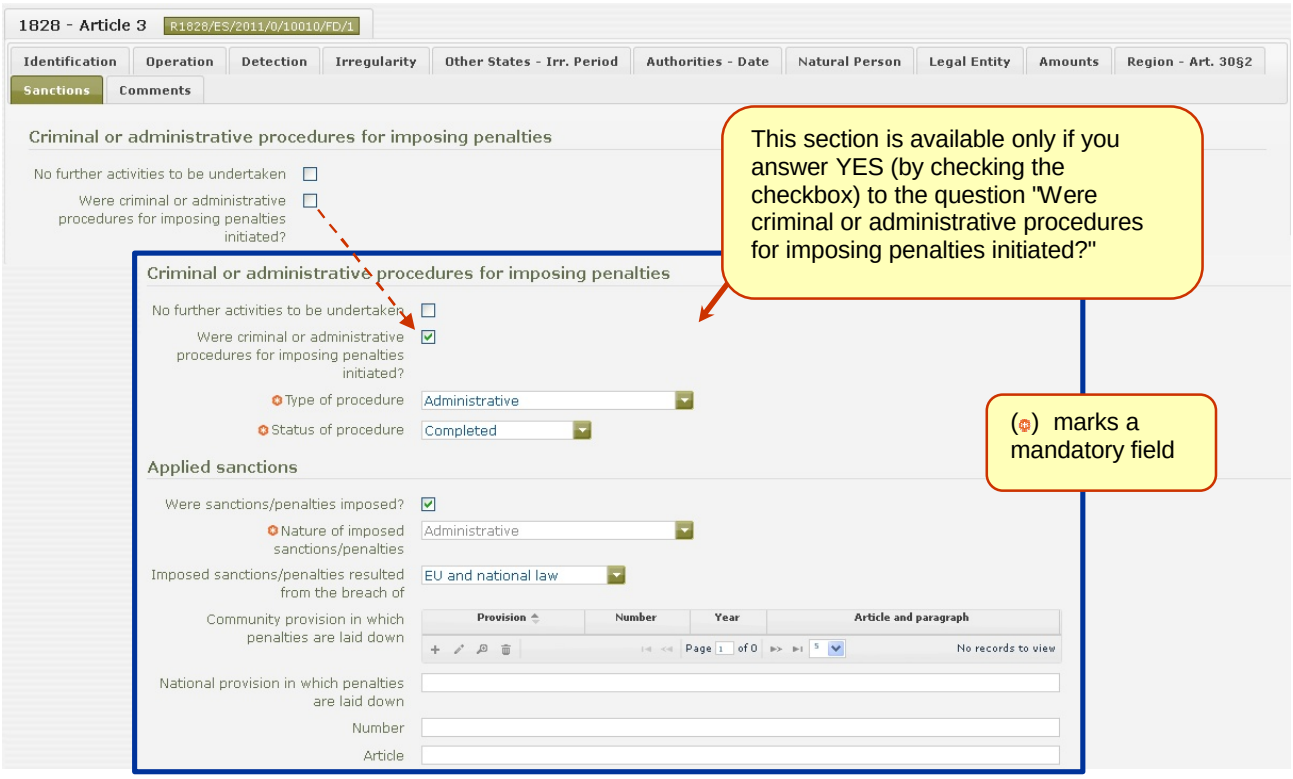


Figure 14: Sanctions

Field/Section	Description
Criminal or administrative procedures for imposing penalties	
No further activities to be undertaken	If you agree with this statement, check the checkbox next to it.
Were criminal or administrative procedures for imposing penalties initiated?	Checking the checkbox next to this field means YES. When your option is YES, two new fields become available: • Type of procedure • Status of procedure
Type of procedure	It becomes available and mandatory only if your option for the previous field is YES. The procedures can be: • Administrative and criminal • Administrative • Criminal
Status of procedure	It becomes available and mandatory only if your option for the field "Were criminal or administrative procedures for imposing penalties initiated?" is YES. The status of the procedures can be:

Field/Section	Description
	• Abandoned • Completed • Initiated è If the procedures were abandoned or they have just been initiated, there is no more information for you to enter. è However, if the procedures were completed, extra fields become available and they are presented under the section "Applied sanctions".
Applied sanctions	
Were sanctions/penalties imposed?	Checking the checkbox next to this field means YES. When your option is YES, two new fields become available: • Nature of imposed sanctions/penalties • Imposed sanctions/penalties resulted from the breach of
Nature of imposed sanctions/penalties	It becomes available and mandatory only if your option for the previous field is YES. By default, the value that you selected as Type of procedure is displayed. If needed, you can select another value which is available in the list. The nature of the sanctions or penalties that could be imposed is: • Administrative and criminal • Administrative • Criminal
Imposed sanctions/penalties resulted from the breach of	Select from the drop-down list the type of law that was infringed. It can be: • EU law • EU and national law • National law è Depending on the type of law that you select, different fields are displayed and you can enter details about different provisions in which penalties are laid down.
European provision in which penalties are laid down	It becomes available only if you select "EU law" or "EU and national law" in the previous field. è You should specify the provision, its number, the year and the article and paragraph in which the penalties are laid down. To do so, use the options you have in the master-detail list: – helps you **add** a new provision – use this button when a provision is already added, but you need to **edit** it – use this button when you only want to **view** the provision(s) details – helps you **remove** a provision from the list è Click **Submit** when you finish entering the provision and its details.
Provision	Select the corresponding type(s) of legislation from the drop-down list. There are three categories of legislative acts: • Decision (DEC) • Directive (DIR) • Regulation (REG)

Field/Section		Description
	Number	Enter the number of the provision you selected, in a maximum of 4 characters. è Note that, according to the European legislation, Regulations show the number first and the year after, while for the Directives and Decisions it is the opposite. *e.g.:* • Decision - **2004/316/EC, art.1** • Directive - **2004/2/EC, article 1 and 2** • Regulation - **1260/99, article 32, 33, 34**
	Year	Enter the year when the provision you selected was issued.
	Article and paragraph	Enter the article and the paragraph of the provision you selected.
National provision in which penalties are laid down		It becomes available only if you select "National law" or "EU and national law" in the previous field. è Write the name of the national legislation in which the penalties are laid down. *e.g. Legislative Decree*
	Number	Write the number and year of the national legislation in which the penalties are laid down. *e.g. 74/2000*
	Article	Write the article(s) of the national legislation in which the penalties are laid down. *e.g. articles 2 and 8*

Table 12: Sanctions (Options)

18. Comments

On this tab-page you can enter any additional remarks, comments, recommendations, suggestions.

You can also add attachment(s) relevant for the case.

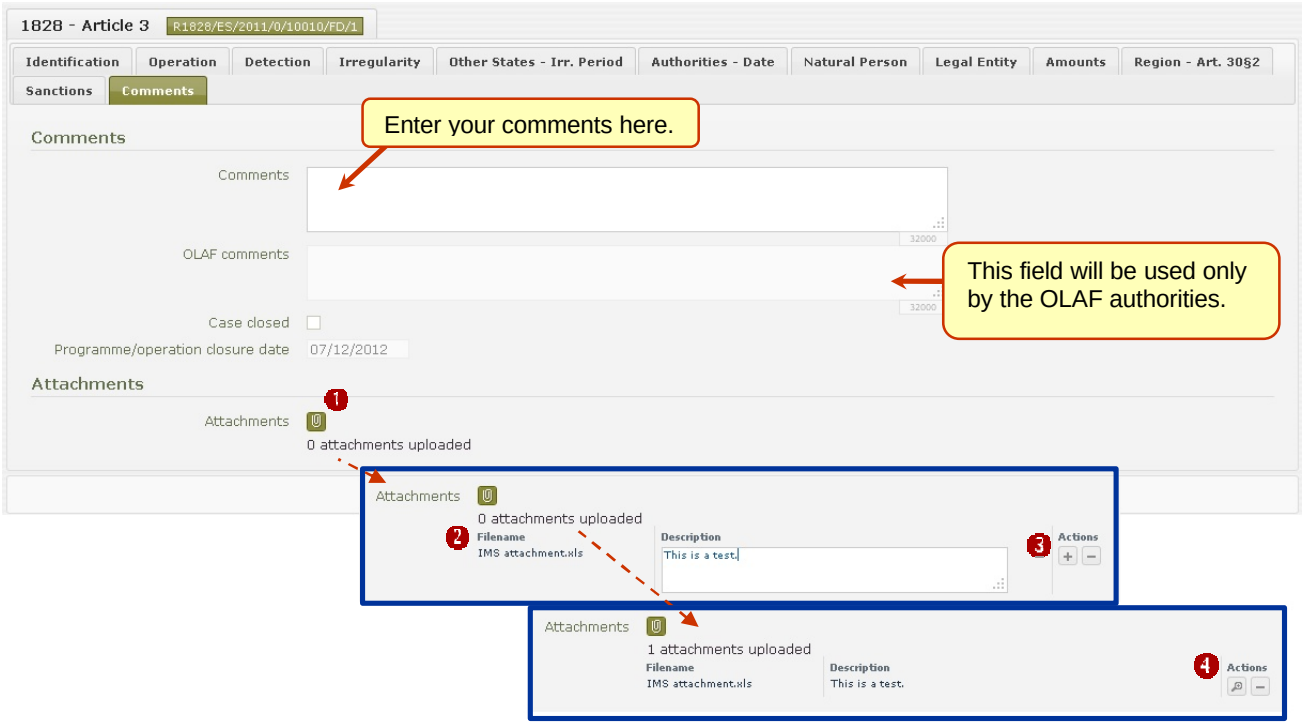


Figure 15: Comments

Field	Description
Comments	è Notice the character counting while you put down the text (right down corner).
OLAF comments	You cannot use this field. • If needed, the OLAF authorities will enter their remarks and comments when reviewing and amending the communication you send.
Case closed	You cannot use this field. • When needed, the OLAF authorities will close the case by using this field.
Programme/operation closure date	This date appears depending on the CCI number you select on the **Operation** page.

Table 13: Comments (Options)

18.1 Attachments

- You can attach up to 10 files to a communication.
- The size of each file should be maximum 20 megabytes (MB).
- The title of the file that you are attaching cannot have more than 50 characters.

How to attach a file:

1. In the **Attachments** section, click the "attach" button ( )

- **Browse** on your computer for the file/document you intend to attach
- Select the file from your computer and click "Open"

2. The **Filename** and the **Description** field appears.

- You can describe the file you are attaching in a maximum of 250 characters, with spaces.

3. Click the "add" button ( ).

è The attachment is uploaded.

4. If you need, you can perform the following actions on the file you attached:

- View – by clicking the "view" button ( ).
- Remove – by clicking the "remove" button ( ).

18.2 Communications Belonging to a Closed Case

You will not use the "Case closed" checkbox. This can be done only by OLAF authorised staff (when reviewing and amending a communication you send).

When the case is closed by OLAF, the information regarding the closure of the case is available on this tab-page (see image below).

You can see the communications belonging to the closed case on the search results page, by applying specific search criteria (for example, **Case Status: Closed**).

The status of the communications belonging to the closed case is *Submitted to OLAF* or *Modified by OLAF* and they are represented with the icon .

When you view a communication belonging to the closed case, you can notice the "Case closure date" as in the following image:

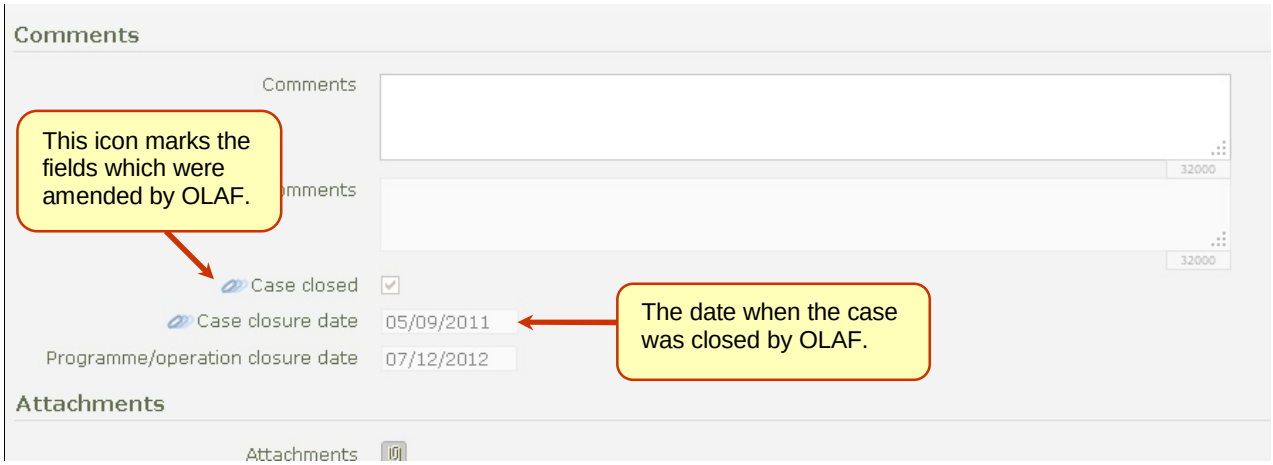


Figure 16: Sample View on a Case Closed (by OLAF)

III. Create Article 5 (Update) Communication

19. Create a New "Article 5" (Update) Communication

Create an **Article 5** (update) communication = update a case which was submitted to OLAF.

You can create an **Article 5** (update) only from the latest communication (last update) of a case which was submitted to OLAF.

This latest communication can be either an **Article 3** or an **Article 5** and can only have one of the states:

- *Submitted to OLAF* ( )
- *Modified by OLAF* ( )

To create a new 1828 **Article 5** communication do the following:

- On the page listing all the communications – click the reference number to open the latest communication of the case you want to update (**1**)
- While viewing the communication you've just opened – click the **Article 5** button (**2**)

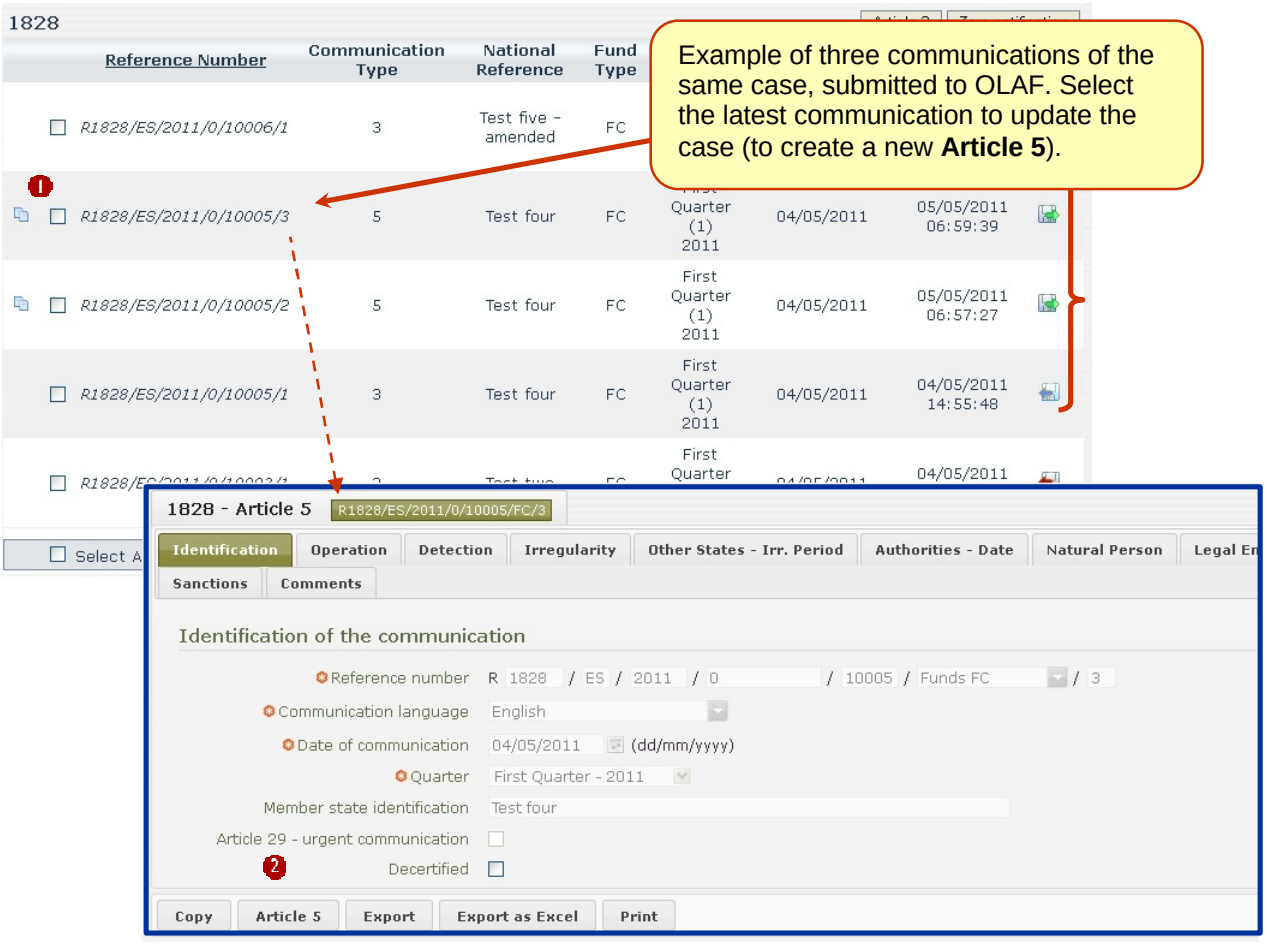


Figure 17: Create Article 5 (Update) Communication

20. Cancel a Case

In order to cancel a case, follow the steps below:

1. Create and send an **Article 3** communication.

2. When it is in one of the states: *Submitted to OLAF* (), *Modified by OLAF* (), open it and start the creation of an **Article 5** communication.

3. On tab-page *5. Irregularity* – go to field "Qualification of the irregularity".

4. Select from the list: **no irregularity (IRQ0).**

è The field "Cancellation reason" is displayed and you have to explain why the case should be cancelled.

Remember not to enter any personal/nominal data, such as people's or companies' names etc.

5. Click **Finalize** or **Send** (depending on your rights).

6. A pop-up window appears, asking you to confirm or not the cancellation of the case.

7. Click **OK** and the communication is sent to the next authority.

When the **Article 5** communication is eventually submitted to OLAF, the case is considered as being cancelled together will all the communications that you sent relating to the respective case.

è In a communication belonging to a cancelled case, only the following information remains available:

- In the list of communications: reference number, national reference number, communication type, communication date, registration date, status (icon).
- Inside the communication: reference number, national reference number, communication date, qualification of the irregularity (IRQ) and cancellation reason.

è **None of these fields should contain personal data.**

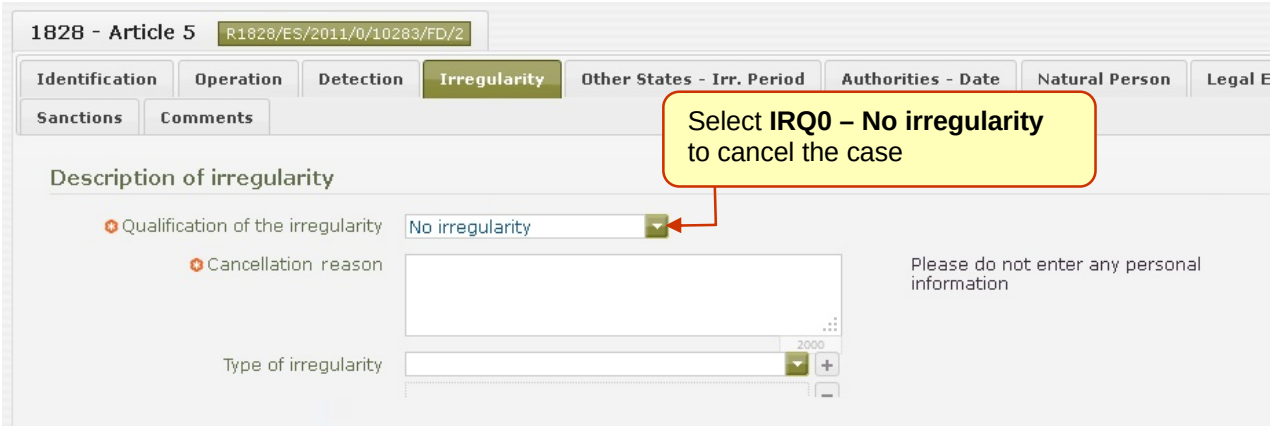


Figure 18: Irregularity – Cancel a Case

Support Team Contact Information

In case of problems, please contact your local administrator or the AFIS Helpdesk team:

AFIS IT Help desk	
Address: Rue Joseph II, 30/B-1049 Brussels	
Tel: +32 2 296 27 27	Internet e-mail: olaf-afis-it-help-desk@ec.europa.eu
Fax: +32 2 213 13 67	MAB mail: EC-OLAF-IT